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PTO/33/03 (1/93)  
 Approved for use through 10/30/2000. CMS 3651-0002  
 Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 204,307

First Inventor or Application Identifier James Grossman

Title Method of Distributing Printed Advertisements

Express Mail Label No. EK 051 386 212 US

APPLICATION ELEMENTS  
 See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SF/17)  
 (Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 40]  
 (preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 26]
4. Oath or Declaration [Total Pages ]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.53(d))  
 (for continuation/divisional with Box 17 completed)  
 (Note Box 5 below)
  - i. ☐ DECLARATION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.53(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
 The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
 (Should be specifically itemized)
14. ☒ Small Entity Statement(s) ☐ Statement filed in prior application.  
 Status still proper and desired (PTO/SF/09-12)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other: \_\_\_\_\_

\* A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit \_\_\_\_\_

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name

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Attorneys at Law

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212-949-9022

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Name (Print/Type)

Thomas E. Spoth

Registration No. (Attorney/Agent)

25,928

Signature

Thomas E. Spoth

Date

4/28/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

04/28/00

1c815 U.S. PTO

00560826-042800

04/28/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: James Grossman

SERIAL NO.:

EXAMINER:

FILED:

GROUP NO.:

FOR (TITLE): METHOD OF DISTRIBUTING PRINTED ADVERTISING

**VERIFIED STATEMENT AS SMALL ENTITY**

Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

SIR:

The undersigned declare(s):

Exclusive rights in the above-identified invention reside in the "small entity" defined and named below, and "small entity" fees are appropriate. Qualification as a small entity is based upon the following:

☒

**INDEPENDENT INVENTOR**

An independent inventor is any inventor who:

- 1) has not assigned, granted, conveyed, or licensed, and
- 2) is under no obligation under contract or law to assign, grant, convey, or license any rights in the invention to any person who could not likewise be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a non-profit organization as defined in Rule 1.9.

☐

**SMALL BUSINESS CONCERN**

A small business concern is defined as a business concern:

- 1) whose number of employees, including those of its affiliates, does not exceed 500 persons, and
  - 2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization as defined in Rule 1.9.
- Concerns are affiliates of each other when, either directly or indirectly, one concern controls or has the power to control the other, or a third party controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

☐ NONPROFIT ORGANIZATION

(Check additional applicable box)

A nonprofit organization is defined as:

- ☐ 1) a university or other institution of higher education located in any country; or
- ☐ 2) a organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); or
- ☐ 3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of the United States (35 U.S.C. 201(i)); or
- ☐ 4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e)(2) or (3) of Rule 1.9 if it were located in the United States.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

James Grossman

(Print or type name of small entity)

\*

(Signature and title of person authorized to act on behalf of small entity)

9 Woodland Drive

(Address)

Westport, CT 06880

(Date)

4/28/00

\* If "small entity" is more than one inventor or a combination of "small entities", add name(s), address(es) and signature(s) of other parties below. Please include date.

Full Name of Second Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		
Full Name of Third Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		
Full Name of Fourth Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

TOTAL AMOUNT OF PAYMENT (\$) 633

## Complete if Known

Application Number  
Filing Date April 28, 2000  
First Named Inventor James Grossman  
Examiner Name  
Group / Art Unit  
Attorney Docket No. 2047307

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 01-0035  
Deposit Account Name ABELMAN, FRAYNE & SCHWAB

☐ Charge Any Additional Fee Required Under 37 CFR 1.18 and 1.17  
☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	790	201	395	Utility filing fee	345
106	330	206	185	Design filing fee	
107	540	207	270	Plant filing fee	
108	790	208	395	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$ 345)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
39	-20** = 19	X 9 = 171	
6	-3** = 3	X 39 = 117	
Multiple Dependent			

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description
103	22	203	11	Claims in excess of 20
102	82	202	41	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	82	209	41	** Reissue independent claims over original patent
110	22	210	11	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$ 288)				

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	950	217	475	Extension for reply within third month	
118	1,510	218	755	Extension for reply within fourth month	
128	2,080	228	1,030	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,320	241	660	Petition to revive - unintentional	
142	1,320	242	660	Utility issue fee (or reissue)	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
148	790	248	395	Filing a submission after final rejection (37 CFR 1.129(a))	
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)					
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					

## SUBMITTED BY

Typed or Printed Name Thomas E. Spath

Signature

*Thomas E. Spath*

Date 4/28/00

## Complete (if applicable)

Reg. Number 25,928

Deposit Account User ID